

02/12/02

22-407 JC07 Rec'd PCT/PTO 1 2 FEB 2002

PCT-1390 (Modified) 2000		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		ATTORNEY DOCKET NUMBER 86397
TRANSMITTAL LETTER TO THE UNITED STATES DESIGNATED/ELECTED OFFICE (DO/EO/US) CONCERNING A FILING UNDER 35 U.S.C. 371				U.S. APPLICATION NO. (IF KNOWN, SEE 37 CFR) 10/049875
INTERNATIONAL APPLICATION NO. PCT/JP00/05738		INTERNATIONAL FILING DATE AUGUST 25, 2000		PRIORITY DATE CLAIMED AUGUST 27, 1999
TITLE OF INVENTION Silicon Wafer and Method For Manufacturing Thereof, and Method For Evaluation of Silicon Wafer				
APPLICANT(S) FOR DO/EO/US Satoshi Komiya, Shiro Yoshino, Masayoshi Danbata and Kouichirou Hayashida				
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:				
<ul style="list-style-type: none">1. <input checked="" type="checkbox"/> This is a FIRST submission of items concerning a filing under 35 U.S.C. 371.2. <input type="checkbox"/> This is a SECOND or SUBSEQUENT submission of items concerning a filing under 35 U.S.C. 371.3. <input type="checkbox"/> This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (24) indicated below.4. <input type="checkbox"/> The US has been elected by the expiration of 19 months from the priority date (Article 31).5. <input checked="" type="checkbox"/> A copy of the International Application as filed (35 U.S.C. 371 (c) (2))<ul style="list-style-type: none">a. <input checked="" type="checkbox"/> is attached hereto (required only if not communicated by the International Bureau).b. <input type="checkbox"/> has been communicated by the International Bureau.c. <input type="checkbox"/> is not required, as the application was filed in the United States Receiving Office (RO/US).6. <input type="checkbox"/> An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).<ul style="list-style-type: none">a. <input type="checkbox"/> is attached hereto.b. <input type="checkbox"/> has been previously submitted under 35 U.S.C. 154(d)(4).7. <input type="checkbox"/> Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))<ul style="list-style-type: none">a. <input type="checkbox"/> are attached hereto (required only if not communicated by the International Bureau).b. <input type="checkbox"/> have been communicated by the International Bureau.c. <input type="checkbox"/> have not been made; however, the time limit for making such amendments has NOT expired.d. <input type="checkbox"/> have not been made and will not be made.8. <input type="checkbox"/> An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).9. <input checked="" type="checkbox"/> An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).10. <input type="checkbox"/> An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).11. <input type="checkbox"/> A copy of the International Preliminary Examination Report (PCT/IPEA/409).12. <input checked="" type="checkbox"/> A copy of the International Search Report (PCT/ISA/210).				
Items 13 to 20 below concern document(s) or information included:				
<ul style="list-style-type: none">13. <input checked="" type="checkbox"/> An Information Disclosure Statement under 37 CFR 1.97 and 1.98.14. <input type="checkbox"/> An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.15. <input checked="" type="checkbox"/> A FIRST preliminary amendment.16. <input type="checkbox"/> A SECOND or SUBSEQUENT preliminary amendment.17. <input type="checkbox"/> A substitute specification.18. <input type="checkbox"/> A change of power of attorney and/or address letter.19. <input type="checkbox"/> A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 35 U.S.C. 1.821 - 1.825.20. <input type="checkbox"/> A second copy of the published international application under 35 U.S.C. 154(d)(4).21. <input type="checkbox"/> A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).22. <input checked="" type="checkbox"/> Certificate of Mailing by Express Mail23. <input checked="" type="checkbox"/> Other items or information: an application data sheet				

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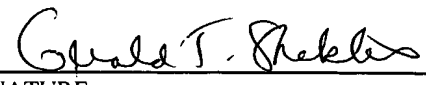
24. The following fees are submitted: BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)) : <input type="checkbox"/> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO \$1040.00 <input checked="" type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but International Search Report prepared by the EPO or JPO \$890.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO \$740.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) \$710.00 <input type="checkbox"/> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) \$100.00 ENTER APPROPRIATE BASIC FEE AMOUNT =				CALCULATIONS PTO USE ONLY <div style="border: 1px solid black; height: 100px; width: 100%;"></div>																																																																							
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (e)).				\$890.00																																																																							
<table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width:15%;">CLAIMS</th> <th style="width:20%;">NUMBER FILED</th> <th style="width:20%;">NUMBER EXTRA</th> <th style="width:10%;">RATE</th> <th style="width:15%;"></th> <th style="width:10%;"></th> </tr> </thead> <tbody> <tr> <td>Total claims</td> <td>8 - 20 =</td> <td>0</td> <td>x \$18.00</td> <td></td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td>Independent claims</td> <td>5 - 3 =</td> <td>2</td> <td>x \$84.00</td> <td></td> <td style="text-align: right;">\$168.00</td> </tr> <tr> <td colspan="5">Multiple Dependent Claims (check if applicable). <input type="checkbox"/></td> <td style="text-align: right;">\$0.00</td> </tr> <tr> <td colspan="5" style="text-align: right;">TOTAL OF ABOVE CALCULATIONS =</td> <td style="text-align: right;">\$1,058.00</td> </tr> <tr> <td colspan="5" style="padding: 5px;"> <input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2. </td> <td style="text-align: center; vertical-align: bottom; padding: 5px;"> \$0.00 </td> </tr> <tr> <td colspan="5" style="text-align: right; padding: 5px;">SUBTOTAL =</td> <td style="text-align: right; padding: 5px;">\$1,058.00</td> </tr> <tr> <td colspan="4" style="padding: 5px;"> Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)). </td> <td colspan="2" style="text-align: center; vertical-align: bottom; padding: 5px;"> \$0.00 </td> </tr> <tr> <td colspan="5" style="text-align: right; padding: 5px;">TOTAL NATIONAL FEE =</td> <td style="text-align: right; padding: 5px;">\$1,058.00</td> </tr> <tr> <td colspan="4" style="padding: 5px;"> Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/> </td> <td colspan="2" style="text-align: center; vertical-align: bottom; padding: 5px;"> \$40.00 </td> </tr> <tr> <td colspan="5" style="text-align: right; padding: 5px;">TOTAL FEES ENCLOSED =</td> <td style="text-align: right; padding: 5px;">\$1,098.00</td> </tr> <tr> <td colspan="5"></td> <td style="text-align: center; vertical-align: bottom; padding: 5px;"> Amount to be: refunded \$ charged \$ </td> </tr> </tbody></table>				CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE			Total claims	8 - 20 =	0	x \$18.00		\$0.00	Independent claims	5 - 3 =	2	x \$84.00		\$168.00	Multiple Dependent Claims (check if applicable). <input type="checkbox"/>					\$0.00	TOTAL OF ABOVE CALCULATIONS =					\$1,058.00	<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27). The fees indicated above are reduced by 1/2.					\$0.00	SUBTOTAL =					\$1,058.00	Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492 (f)).				\$0.00		TOTAL NATIONAL FEE =					\$1,058.00	Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31) (check if applicable). <input checked="" type="checkbox"/>				\$40.00		TOTAL FEES ENCLOSED =					\$1,098.00						Amount to be: refunded \$ charged \$
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- a. ☒ A check in the amount of \$1,098.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. _____ in the amount of _____ to cover the above fees. A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 23-0920 A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. **Credit card information should not be included on this form.** Provide credit card information and authorization on PTO-2038.

NOTE: Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR 1.137(a) or (b)) must be filed and granted to restore the application to pending status.

SEND ALL CORRESPONDENCE TO:

Gerald T. Shekleton, Esq.
 Welsh & Katz, Ltd.
 120 South Riverside Plaza, 22nd Floor
 Chicago, Illinois 60606
 312-655-1500



 SIGNATURE

Gerald T. Shekleton

 NAME

27,466

 REGISTRATION NUMBER

02/12/2002

 DATE

CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)

Applicant(s): Satoshi Komiya et al.

Docket No.

86397

Serial No.

Filing Date

Examiner

Group Art Unit

Invention:

Silicon Wafer and Method for Manufacture Thereof, and Method of Evaluation of Silicon Wafer

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